

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT  
APPLICATION OF: Joseph G. GATTO  
SERIAL No.: 09/524,253  
ATTORNEY  
DOCKET No: 23449-009  
FILING DATE: March 13, 2000  
ART UNIT : 3624  
EXAMINER NARAYANSWAMY SUBRAMANIAN  
FOR: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND  
METHOD

---

#15  
10/12/03

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUBMISSION OF FORMAL DRAWINGS**

Sir:

Applicant submits herewith thirty-three (33) sheets of formal drawings (Figs. 1-34) for the above-identified patent application. The Examiner is respectfully requested to acknowledge receipt of these formal drawings.

In the event any additional fees are incurred upon the filing of this document, please charge the undersigned's Deposit Account 50-0311.

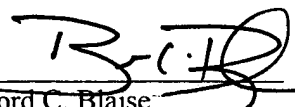
Dated: September 29, 2003

Respectfully submitted,

**RECEIVED**  
OCT 08 2003

**GROUP 3600**

Customer No.  
29315

  
Bradford C. Blaise  
Registration No.: 47,429  
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12010 Sunset Hills Road, Suite 900  
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JC109 JEEKEE  
SEP 29 2003  
PATENT & TRADEMARK  
O P I O

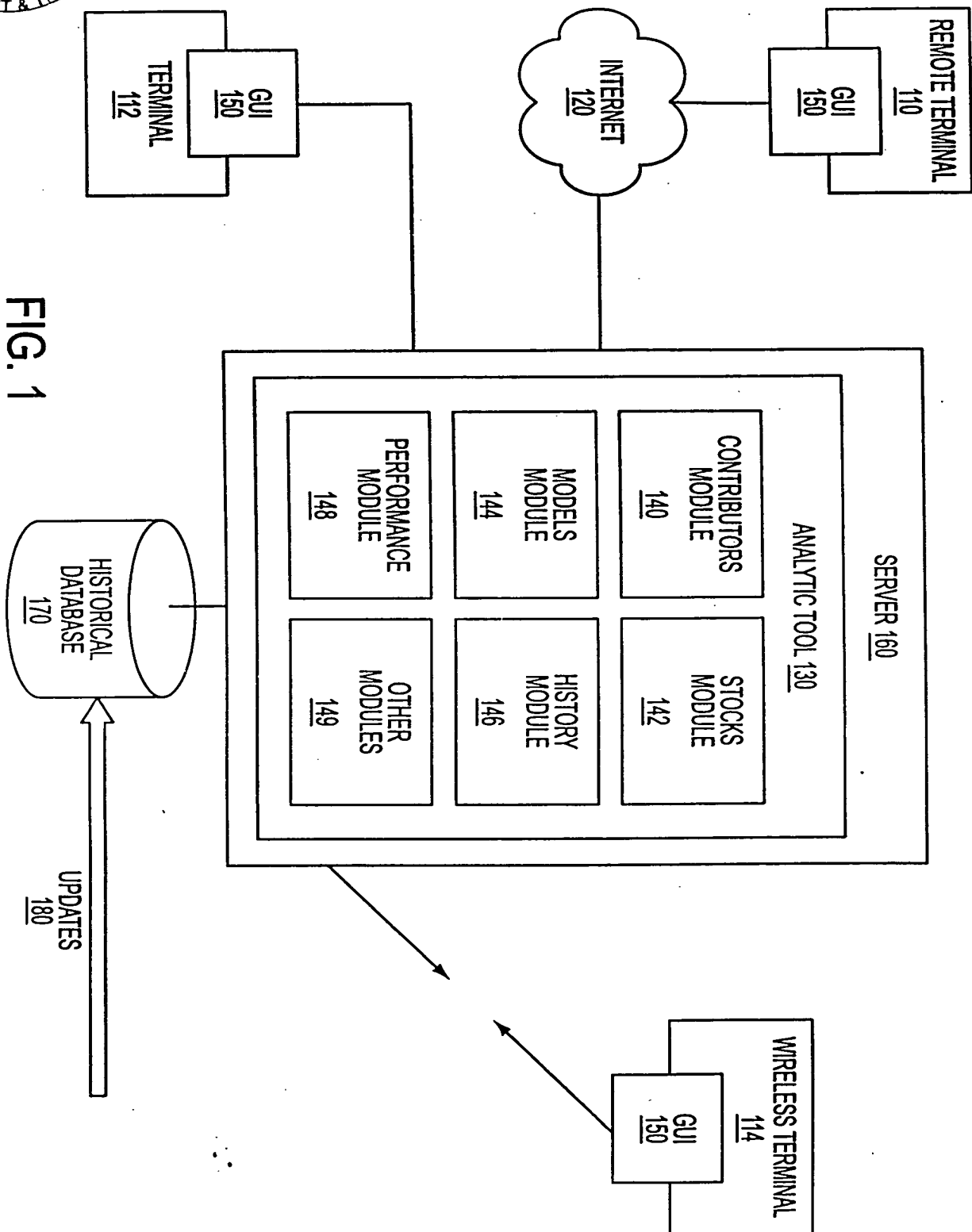
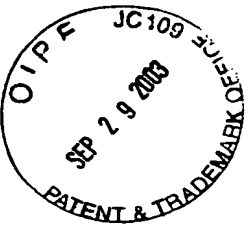


FIG. 1



220 221

☐ StartModeler - [Contributors]

File Options Help

Contributors [Analyst]  
Broker  
Security  
Stocks  
Stock Filters  
Stock Sets  
Models  
Manage  
Backtest  
Results  
History  
Chart  
Snapshot  
Analysis  
Price Change  
Cons Change  
Consistency  
Performance

Analyst Last Name:  - Search

CUSIP Broker... Broker Analyst... Analyst Name

210 230

FIG. 2

220

Contributor Search

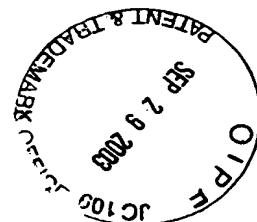
Analyst Name: Dube

Search

Analyst Name	Analyst ID
Dube B	18084
Dube S	7919
Dubeau C	18847

Ok Cancel

FIG. 3



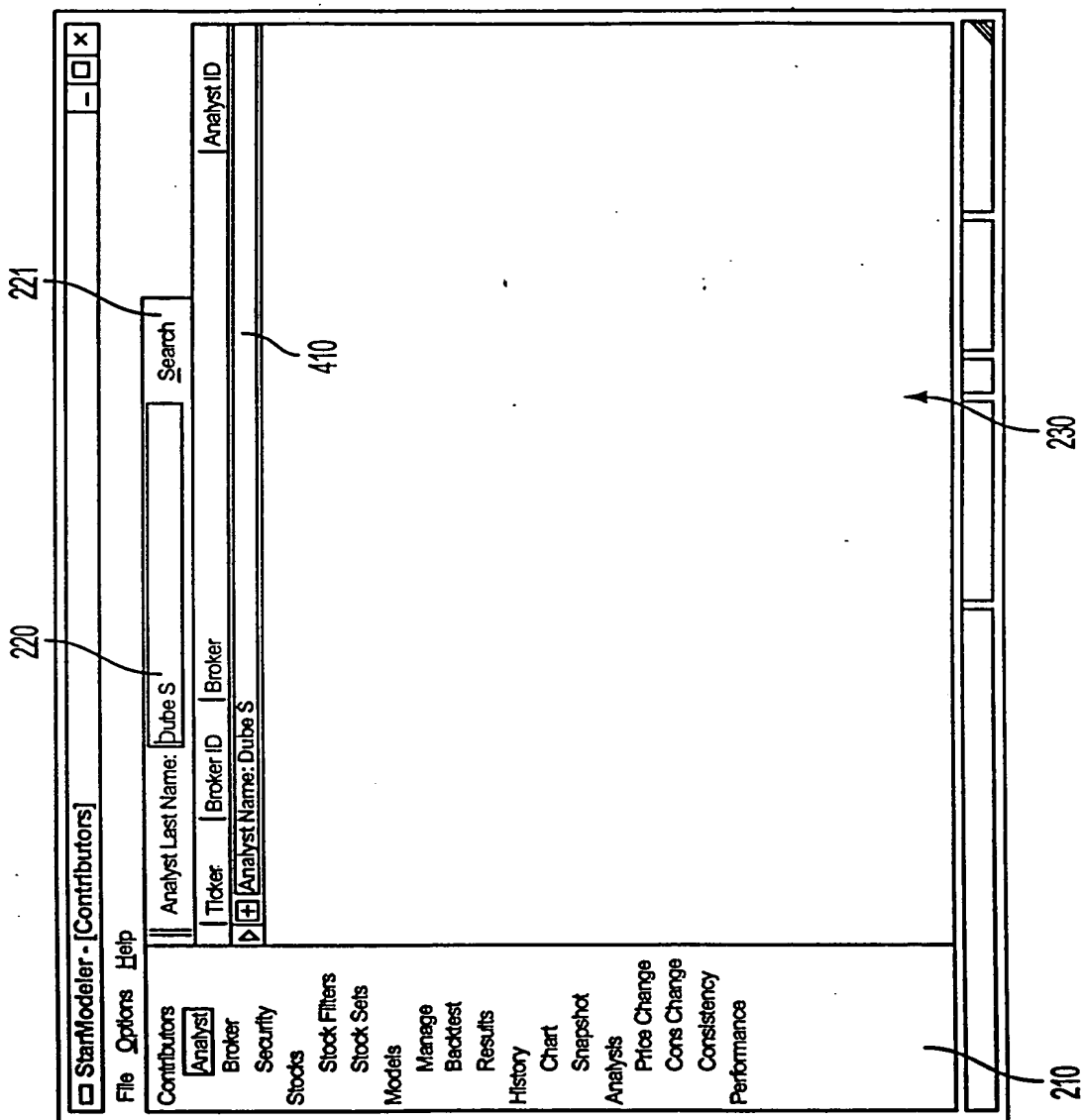
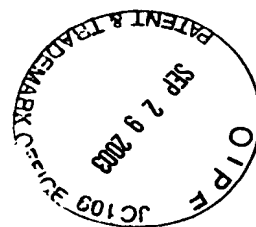


FIG. 4



510
520
220
530
540

StartModeler - [Contributors]
- □ x

File Options Help

Analyst Last Name:

Search

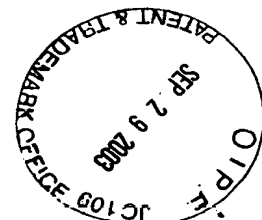
**Contributors**

- ☒ Analyst
- ☐ Broker
- ☐ Security
- ☐ Stocks
- ☐ Stock Filters
- ☐ Stock Sets
- ☐ Models
- ☐ Manage
- ☐ Backtest
- ☐ Results
- ☐ History
- ☐ Chart
- ☐ Snapshot
- ☐ Analysis
- ☐ Price Change
- ☐ Cons Change
- ☐ Consistency
- ☐ Performance

Ticker	Broker ID	Broker	Analyst ID
Analyst Name: Dube S			
BGH	251	Lehman Brothers	7919
DEC	251	Lehman Brothers	7919
DGN	251	Lehman Brothers	7919
HON	251	Lehman Brothers	7919
HWP	251	Lehman Brothers	7919
IBM	251	Lehman Brothers	7919
MMM	251	Lehman Brothers	7919
NCR	251	Lehman Brothers	7919
PRM	251	Lehman Brothers	7919
SY	251	Lehman Brothers	7919
TNDM	251	Lehman Brothers	7919
WAN	251	Lehman Brothers	7919
BGH	308	Lehman Brothers Japan	7919
DEC	308	Lehman Brothers Japan	7919
DGN	308	Lehman Brothers Japan	7919
HON	308	Lehman Brothers Japan	7919
IBM	308	Lehman Brothers Japan	7919
MMM	308	Lehman Brothers Japan	7919
NCR	308	Lehman Brothers Japan	7919
PRM	308	Lehman Brothers Japan	7919

210
505

FIG. 5



610 620 630 640

StarModeler - [Contributors]
File Options Help

Contributors

Analyst

☒ Broker

Security

Stocks

Stock Filters

Stock Sets

Models

Manage

Backtest

Results

History

Chart

Snapshot

Analysis

Price Change

Cons Change

Consistency

Performance

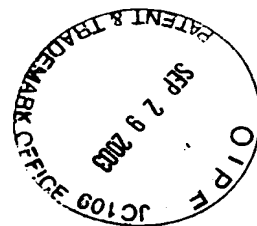
Broker Name: Wasserstein Perella & Co., Inc.
 

Search

Ticker	Broker ID	Analyst ID	Analyst Name
AAPL	1496	7919	Dube S
ABT	1496	7283	Dunne R
ACCX	1496	0	Unknown
ACCX	1496	45411	Loeb J
ACXT	1496	45411	Loeb J
ADPI	1496	46359	Childe J
AIG	1496	233	Picoult M
ALLM	1496	233	Picoult M
AMB	1496	44862	Maguire W
AMER	1496	52141	Klein W
AMIN	1496	45411	Loeb J
APA	1496	973	Ferretti P
APC	1496	973	Ferretti P
ARGY	1496	9267	Schmitt W
ARRO	1496	7283	Dunne R
ART	1496	1374	Alorino E
BA	1496	52828	San Pietro J
BAX	1496	7283	Dunne R
BBD	1496	52828	San Pietro J
BCR	1496	7283	Dunne R

210
605

FIG. 6



☐ StartModeler - [Contributors]
 

File Options Help

☐ CUSIP
 ☐ Company Name
 ☐ Unique Ticker
 ☒ Listed Ticker
 AAPL

Analyst Name

	CUSIP	Broker ID	Broker	Analyst ...	Analyst Name
	<input checked="" type="checkbox"/> Ticker: AAPL [Apple Computer]				
	03783310	7	Deutsche Banc Alex. Brown - Us	0	Unknown
	03783310	7	Deutsche Banc Alex. Brown - Us	658	Bradley O
	03783310	7	Deutsche Banc Alex. Brown - Us	1032	Stahlman M
	03783310	7	Deutsche Banc Alex. Brown - Us	1040	Jt. Rossi
	03783310	7	Deutsche Banc Alex. Brown - Us	1283	Reid C
	03783310	7	Deutsche Banc Alex. Brown - Us	6867	Rueppel P
	03783310	7	Deutsche Banc Alex. Brown - Us	7932	Eskenazi S
	03783310	11	Argus Research Corp.	938	Abramowitz W
	03783310	11	Argus Research Corp.	18158	Electrical/Electro
	03783310	11	Argus Research Corp.	32713	Office Equip.
	03783310	13	Unknown	30132	Post-Technology A
	03783310	15	Atlantis Investment Co.	103	Anderson A
	03783310	16	Prudential Securities	3106	Brown K
	03783310	16	Prudential Securities	5963	Wolk M
	03783310	16	Prudential Securities	33032	Martin R
	03783310	16	Prudential Securities	40709	Alexy K
	03783310	16	Prudential Securities	677	Young D
	03783310	25	Bateman	166	Harris L
	03783310	25	Bateman	4047	Kapka J
	03783310	28	Bear, Stearns & Co.	856	Mcmanus J

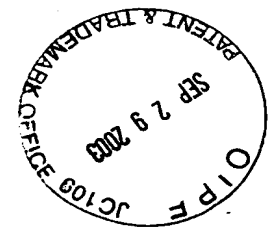


FIG. 7



810820830840850860870870a

☐ StarModeler - [Stock Filters and Lists]

File Options Help

Contributors  
 Analyst  
 Broker  
 Security  
 Stocks  
 Stock Filters  

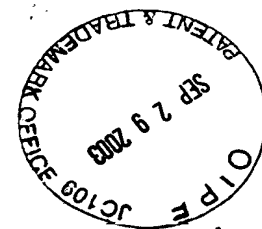
Stock Sets

 Models  
 Manage  
 Backtest  
 Results  
 History  
 Chart  
 Snapshot  
 Analysis  
 Price Change  
 Cons Change  
 Consistency  
 Performance

Owner	List Name	CUSIP	Uniq...	Current Ticker	Name
StarMine	Top 100	02364J11	AMER AOL		America Online
StarMine	Top 500 Activity Stocks (1999)	05947041	BCM BCH		Bco Central Hsp
Garito test-set		20563811	CPWR CPWR		Compuware Corp
		17275R1	CSCO CSCO		Cisco Sys Inc
		24702511	DELL DELL		Dell Computer Cp
		34537011	F F		Ford Motor Co
		38258811	GDYS GDYS		Goody's Family Cl
		37044211	GM GM		Gen Motors Cp
		44929511	ICOS ICOS		Icos Corp
		45337C1	IPI INCY		Incyte Pharmaceu
		45814011	INTC INTC		Intel Cp
		46433011	ISIP ISIP		Isis Pharmaceuti
		59501811	MCDE MCDE		Microdla Pharm
		58392611	MEDD MEDC		Med-Design Corp
		71815411	MO MO		Philip Morris
		59491811	MSFT MSFT		Microsoft Cp
		71271311	PSFT PSFT		Peoplesoft Inc
		30229011	XON XON		Exxon
		98433211	YHOO YHOO		Yahoo! Inc

2101010

FIG. 8



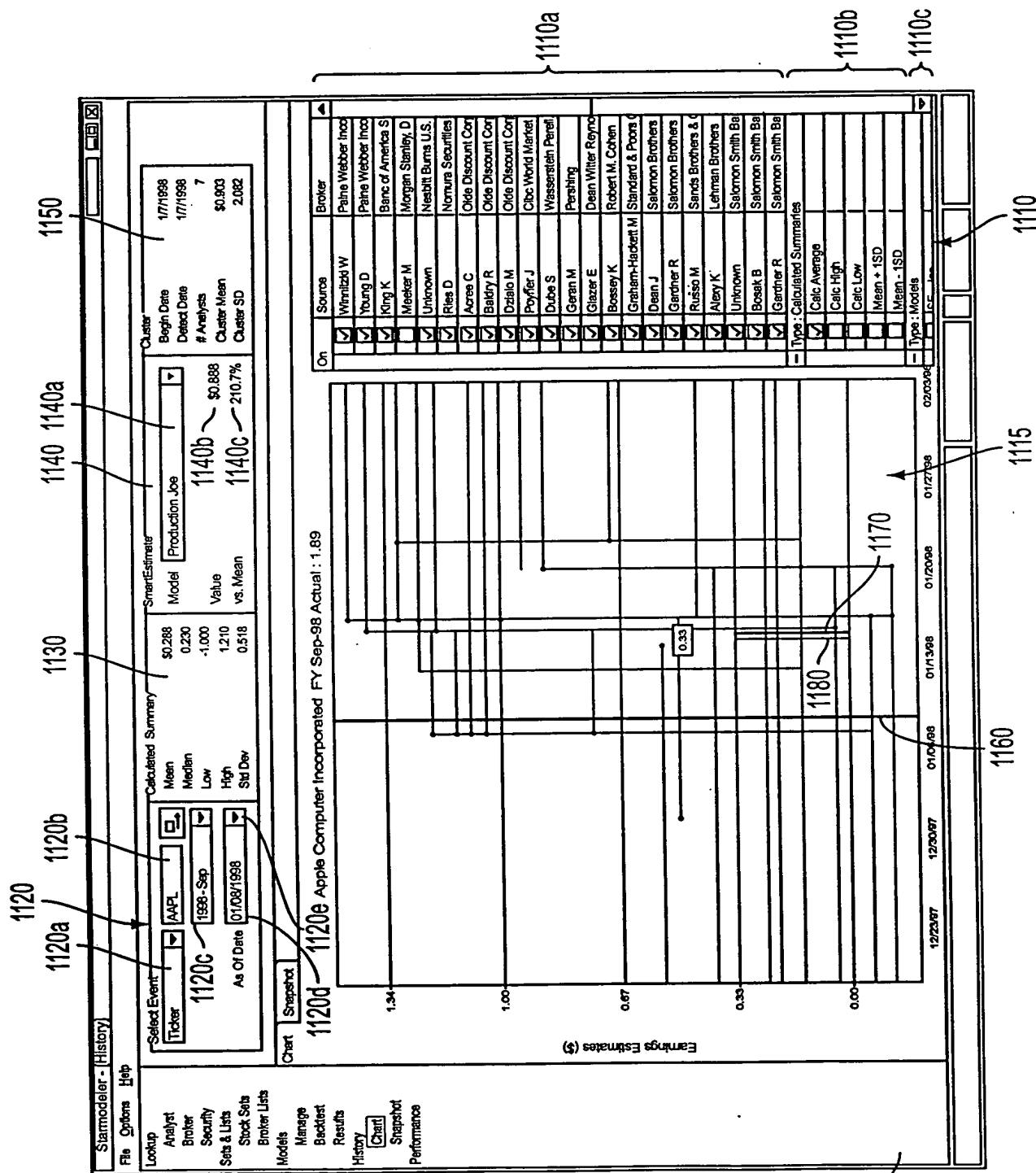
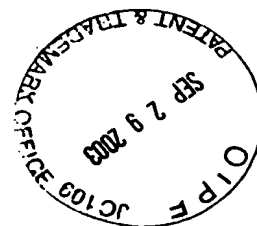


FIG. 9



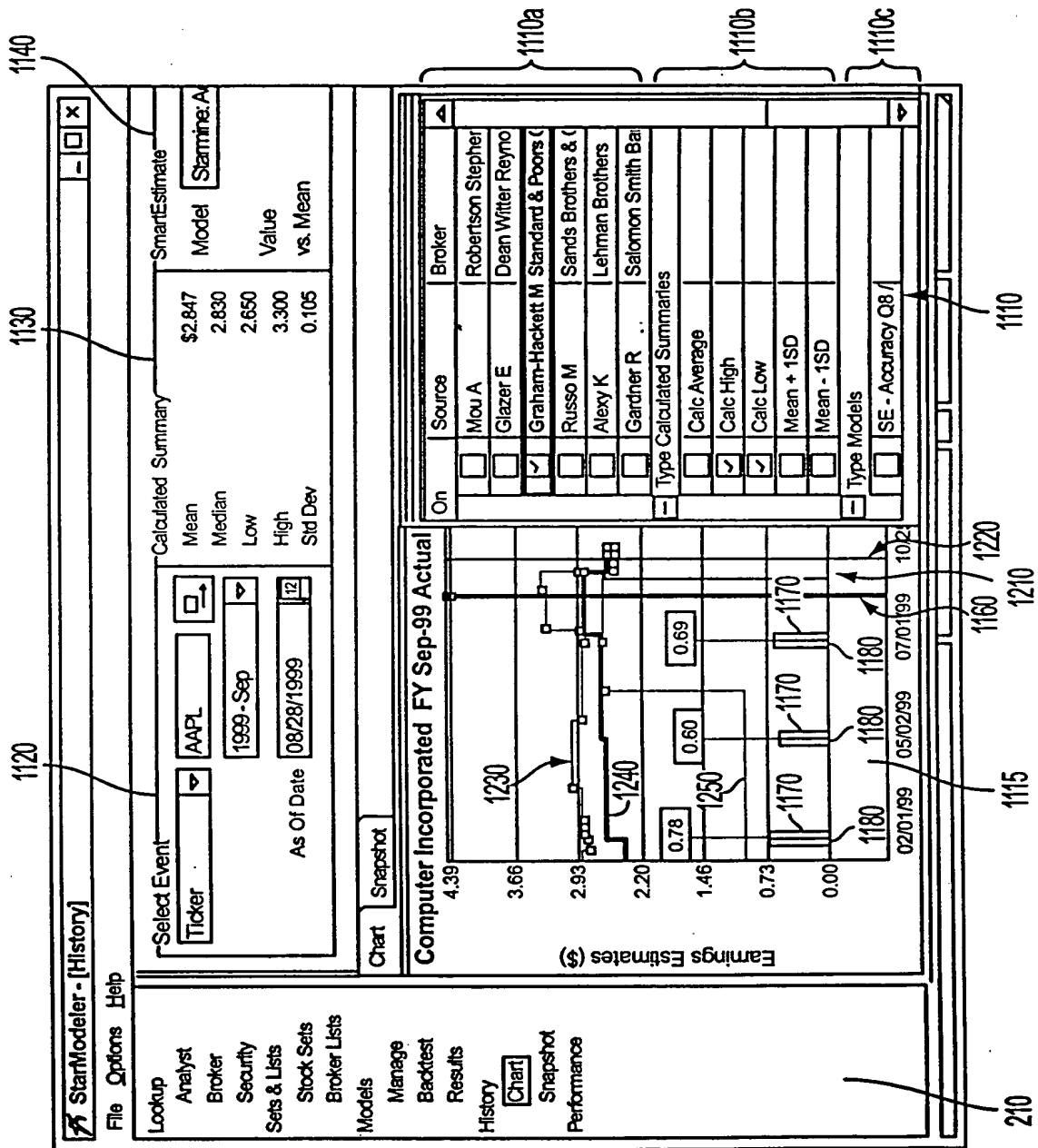


FIG. 10

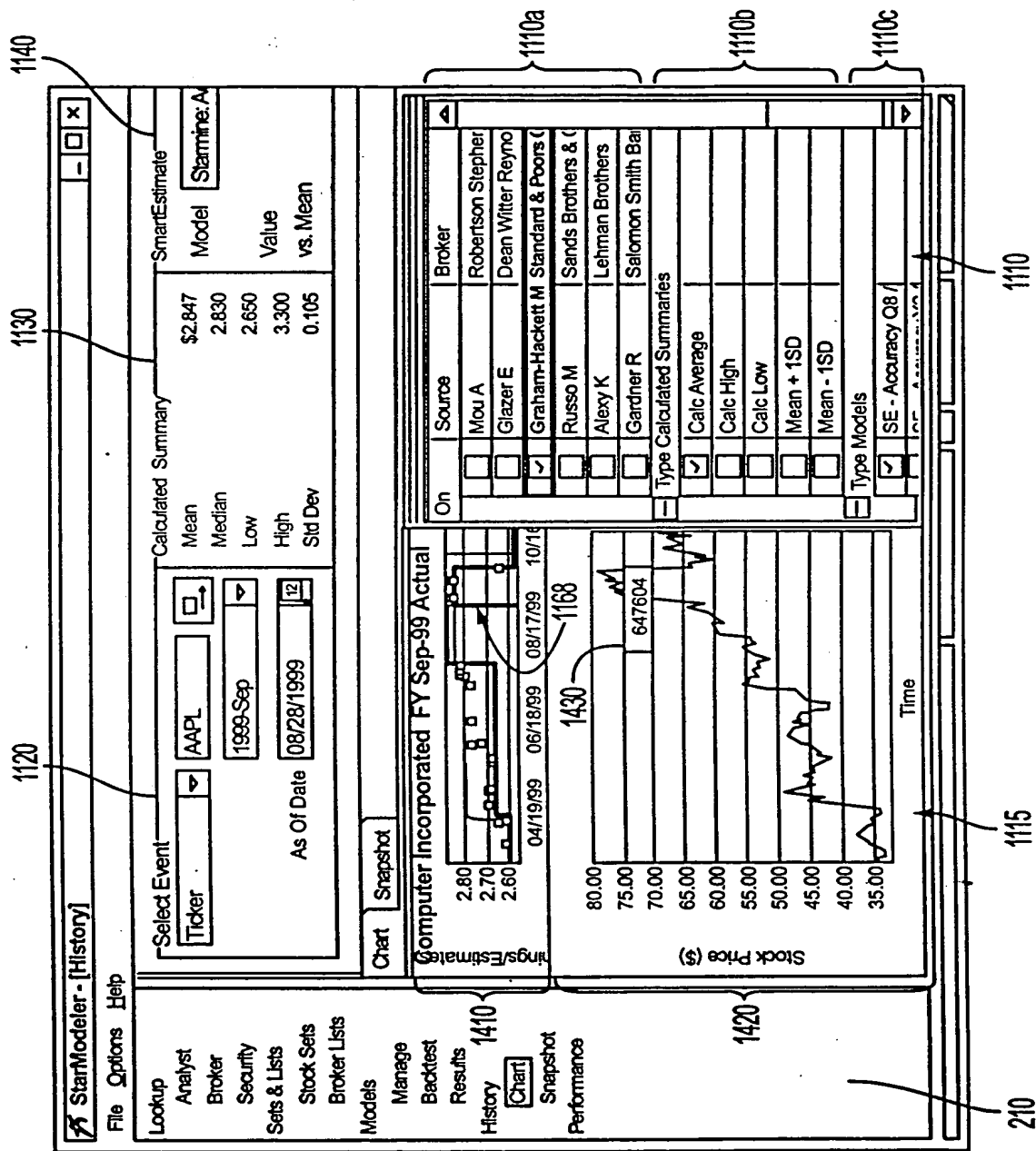


FIG. 11



2110 2120

StarModeler

File Options Help

Lookup

Analyst

Broker

Security

Stock Sets

Broker Lists

Models

Manage

Backtest

Results

History

Chart

Snapshot

Performance

Name

Copy

Save

Move

Delete

Joe

2172

2174

2178

2182

General

Accuracy 1

Accuracy 2

All Star

Broker List

Experience

Estimate Age

Accuracy Q&A

Accuracy Y3Y1

Basic Cluster

Cluster 4A 3D 2% Same

Cluster Accuracy Q&A

Cluster Accuracy Y3Y1

DEFAULT

II All Star

Recency 90 Constant

Recency 90 Proportional

Research

scour2y/ft

scour4y/ft

Cluster30s-120c

Cluster30s-120c

cluster23s,100d/ft

cluster43s,100d/ft

cluster63s,100d/ft

emp6y/ft

Joe-AccOnly

Joe-ChartOnly

Mozes-120c

New Model

Rec100p

Rec30p

Rec50p

Production

Joe

Model Name

Joe

Exclusions

☒ Exclude estimates older than 100 days old.

☐ Exclude estimates more than 2.5 standard deviations from the mean.

☒ Attempt to detect most recent cluster. Exclude all estimates prior to this point.

Cluster Definition

Adjacent estimates have a difference of no more than 3 days.

Estimates are revised in same direction by at least 5 percent

☐ Fixed number of analysts: at least 4 analysts
 ☒ Variable number of analysts
 

Require 2 analysts when # of analysts is between 2 and 4

Require 3 analysts when # of analysts is between 5 and 8

Require 4 analysts when # of analysts is between 9 and 20

Require 20% of analysts when followed by 21 or more analysts.

Factor Weights

Accuracy 1:

40(19.51%)

Accuracy 2:

60(29.27%)

All Star:

0(0.00%)

Broker List:

35(17.07%)

Experience:

35(17.07%)

Estimate Age:

35(17.07%)

210

FIG. 13

2160

2110
2172 2174
2210

StarModeler

File Options Help

Lookup Analyst Broker Security Sets & Lists Broker Lists Models Manage Backtest Results History Chart Snapshot Performance

Name Copy Style Move Delete Job

General Accuracy 1 Accuracy 2 All Star Broker List Experience Estimate Age

Calculate each analyst's average Relative Err %

Using prior  fiscal   periods

Require ☐ months prior to the report date.

Assign N-Score

☐ By Error Score ☐ By Error Rank ☐ Equally To Top...

To ☐ All Analysts ☐ Only Top

StarModeler

File Options Help

Lookup Analyst Broker Security Sets & Lists Broker Lists Models Manage Backtest Results History Chart Snapshot Performance

StarModeler

File Options Help

Lookup Analyst Broker Security Sets & Lists Broker Lists Models Manage Backtest Results History Chart Snapshot Performance

FIG. 14

2160

210

2110

2176

StarModeler - [Broker]

File Options Help

Lookup  
Analyst  
Broker  
Security  
Sets & Lists  
Stock Sets  
Broker Lists  
Models  
Manage  
Backtest  
Results  
History  
Chart  
Snapshot  
Performance

Name Copy Save Move Delete Job

[-] Sumline

Accuracy QM4  
Accuracy Y3/1  
Basic Charter  
Cluster 4A 3D 2% Same  
Cluster Accuracy QM4  
Cluster Accuracy Y3/1  
DEFAULT  
II All Star  
Receiv 80 Constant  
Receiv 80 Proportional

[-] Research

secur2y/ft  
secur4y/ft  
Clust330a-120c  
Clust530a-120c  
clust235,100d/ft  
clust433,100d/ft  
clust433,100d/ft  
exper4y/ft  
Joe-AccOnly  
Joe-ChartOnly  
Mazze-120c  
New Model  
Rec100p  
Rec30p  
Rec80p  
[-] Production  
Joe

General Accuracy 1 Accuracy 2 All Star Broker List Experience Estimate Age

2310

All Star Determination  
☒ Analyst was ever an II, All Star  
☐ Analyst was an II, All Star in the previous year

2320

All Star N-Score  
All Star N-Score 1.00 (1.00)  
Non All Star N-Score 0.25 (0.25)

FIG. 15

210

2160



2510

2520

2530

StarModeler - [Broker List] File Options Help

Name	Save	Rename	Copy	Delete
Broker List				
Joe				

Group #3 N-Score

Broker Name	# Analysts
Merrill Lynch	688
Salomon Smith Barney Inc	422
Lehman Brothers	388
Value Case De Boia	339
Credit Suisse First Boston Corporation	338
Morgan Stanley Dean Witter Discover	335
Goldman Sachs & Co	295
Salomon Brothers	283
Paine Webber Incorporated	270
Nesbitt Burns LLC	263

Group #2 N-Score

Broker Name	# Analysts
Morton Research	1
NOVA RESEARCH	1
Nautchy Investments, Inc.	6
Natexis Capital	1
National Bank Financial	105
National Securities Corporation	4
Natwest - Atr Research	28
Nbid Bank, Na	22
Nbs Stockbrokers Ltd.	3
Needham & Company	80
Neldiger/Tucker/Bruner, Inc.	9
Nesbitt	28
Nesbitt Burns Inc.	100
Niss...	International

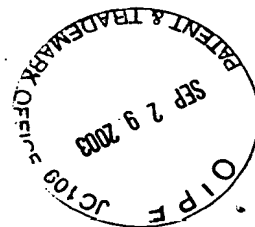
Group #1 N-Score

Broker Name	# Analysts
Advest Inc.	71
Argus Research Corp.	145
Dirty Dozen Research: No Agenda	1
Fifth Third/Ohio Company	30
Fourteen Research Corp.	18
Preferred Capital Markets	12
Standard & Poors Corp	275
Techvest, Llc	1
The Volume Investor	5
Unidentified Broker	...

FIG. 16

2160

210



2110
2180
2610

Starmodeler - [Broker]  
 File Options Help

Lookup  
 Analyst  
 Broker  
 Security  
 Sets & Lists  
 Stock Sets  
 Broker Lists  
 Models  
 Manage  
 Backtest  
 Results  
 History  
 Chart  
 Snapshot  
 Performance

Name  
 Copy  
 Save  
 Move  
 Delete  
 Job

Accuracy 1  
 Accuracy 2  
 All Star  
 Broker List  
 Experience  
 Estimate Age

Using

Quarters

Periods

Scoring systems: (Based on the following)

<=

1

periods receives a Score of 0.0

>=

16

periods receives a Score of 1.0

All experience in between the minimum and maximum receive a

Score = [# Periods - Minimum Period]/(Maximum Periods - Minimum Periods)

210
2160

FIG. 17

2132 2710

2110

StarModeler - [Broker]

File Options Help

Lookup

Analyst

Broker

Security

Stock Sets

Broker Lists

Models

Manage

Backtest

Results

History

Chart

Snapshot

Performance

Name

Copy

Save

Move

Delete

Job

General

Accuracy 1

Accuracy 2

AI Star

Broker List

Experience

Estimate Age

Accuracy Q8/4

Accuracy Y3/1

Basic Cluster

Cluster 4A 3D 2% Same

Cluster Accuracy Q8/4

Cluster Accuracy Y3/1

DEFAULT

II AI Star

Recency 80 Constant

Recency 80 Proportional

Research

secur2y/ftk

secur4y/ftk

Chart330a-120c

Chart530a-120c

cluster233,100d/ftk

cluster435,100d/ftk

cluster633,100d/ftk

exper4y/ftk

Joe-AccOnly

Joe-ChartOnly

Mazes-120c

New Model

Rec100p

Rec30p

Rec80p

Production

Job

Age-weighting

☐ Constant
 ☒ Proportional

Cutoff

100

days

210

2160

FIG. 18

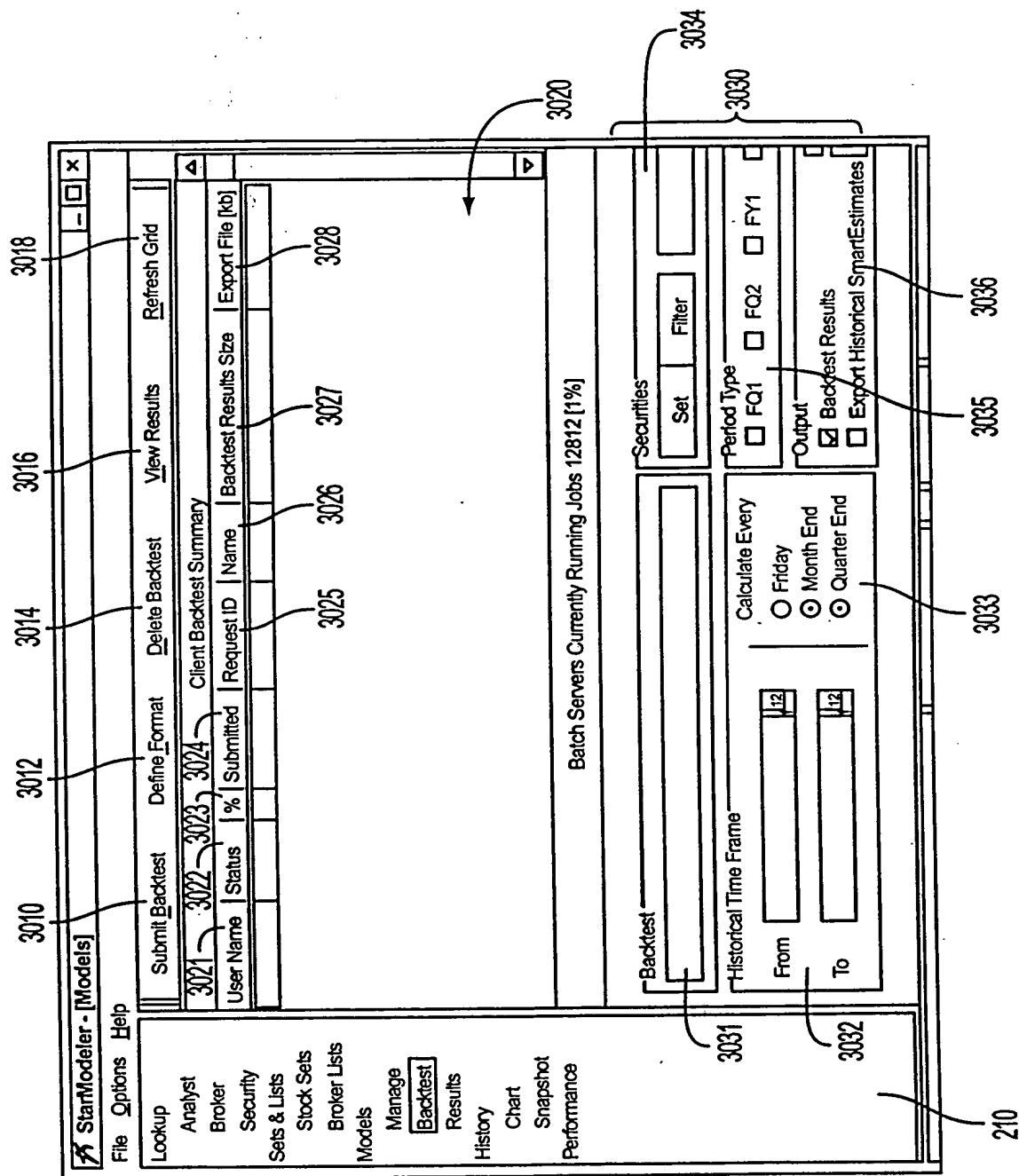


FIG. 19

3110 3130

BackTester	
Models	Options
Selected	Model
[-] Category: Starline	
<input type="checkbox"/>	Accuracy Q8/4
<input type="checkbox"/>	Accuracy Y3/1
<input type="checkbox"/>	AccurateAnalysts.01
<input type="checkbox"/>	Basic Cluster
<input type="checkbox"/>	Cluster 4A 3D 2% Same
<input type="checkbox"/>	Cluster Accuracy Q8/4
<input type="checkbox"/>	Cluster Accuracy Y3/1
<input type="checkbox"/>	Clusters.01
<input type="checkbox"/>	DEFAULT
<input type="checkbox"/>	ExperiencedAnalysts.01
<input type="checkbox"/>	II All Star
<input type="checkbox"/>	Recency 90 Constant
<input type="checkbox"/>	Recency 90 Proportional
<input type="checkbox"/>	StarEstimate.01
<input type="checkbox"/>	TopBrokers.01

☒ Submit

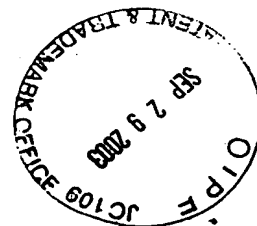
☐ Close

☐ Help

3120

3140

FIG. 20



3130

BackTester

Models Options

Backtest

3210

Securities

Set Filter

No Group Selected

3220

Historical Time Frame

From 1/1/95 12/31/99 To 12/31/99 12/31/99

3230

Calculate Every

Friday Month End Quarter End

3240

Period Type

FQ1 FQ2 FY1 FY2 FY5

3250

Output

Backtest Results

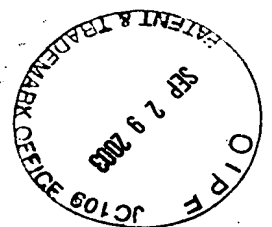
Export Historical Smart Estimates

Format Define/Select

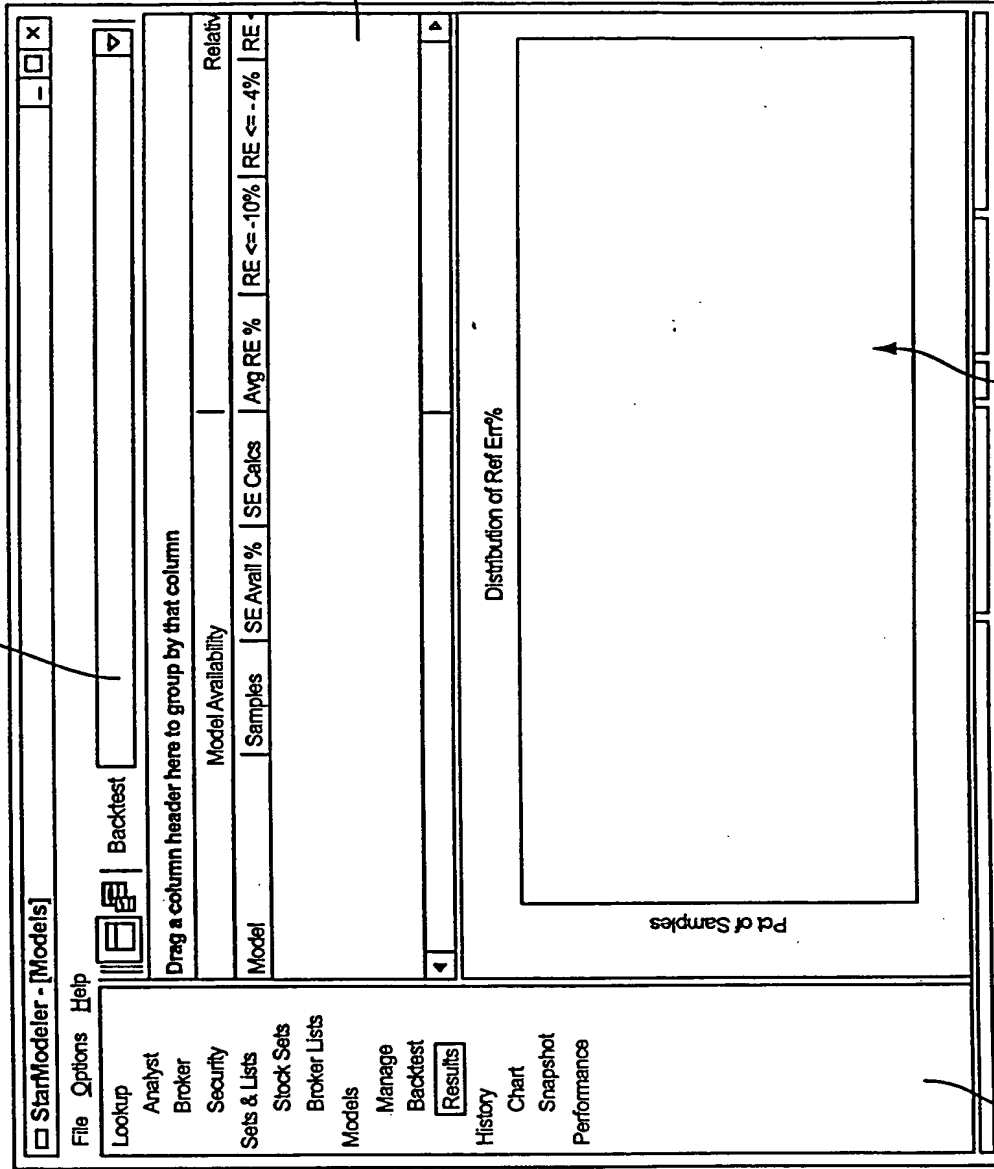
3260

Submit Close Help

FIG. 21



3211

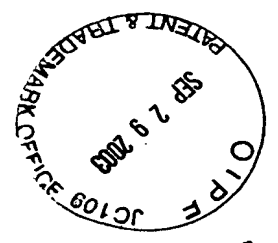


3221

3231

210

FIG. 22



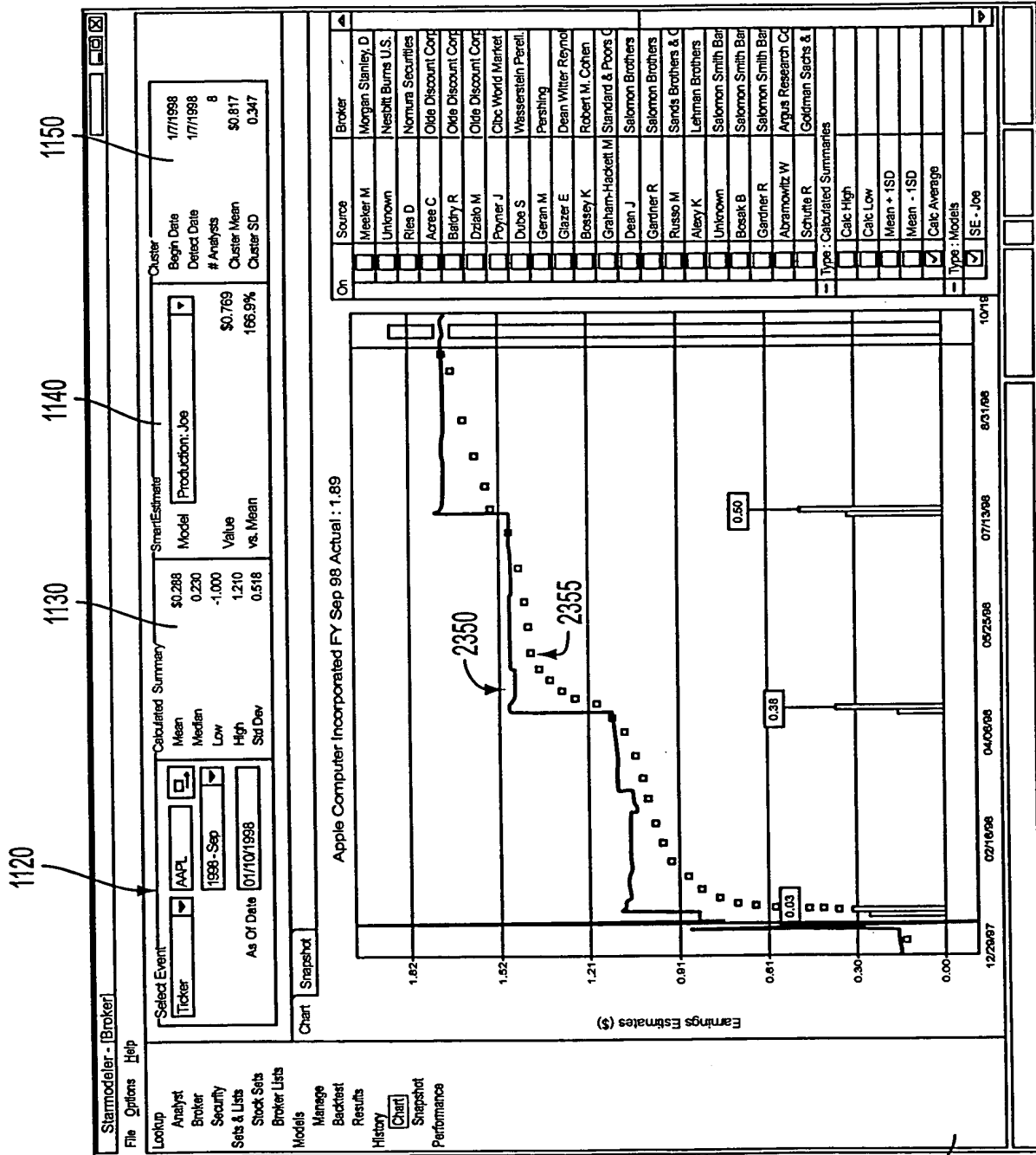
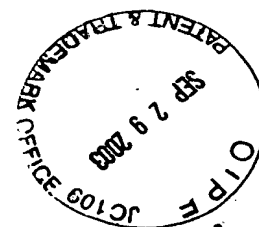


FIG. 23





3370
3310
3320
3330
3340

StarModeler - [Performance]
File Options Help

Prior Fiscal Periods: ☐ Quarters ☒ Years

As of Date:

Evaluation Window:  to  months prior to report date

Summary:

Avg ABS Error \$	Avg Rel Error %	Best Period

Apple Computer Incorporated

Ticker:  Search

Aggregate By: ☒ Analyst ☐ Broker ☐ Broker+Analyst

Analyst Name	Avg Re...	Tot...
Chu R	34.5	97.4
Meyer J	32.6	61.5
Painter L	32.6	99.6
Coyle J	23.3	33.3
Young D	22.9	100.0
Russo M	22.2	33.3
Meeker M	18.9	38.5
McCarthy K	15.5	66.7
Wu D	6.3	55.7
Dzialo M	0.0	33.3

Young D

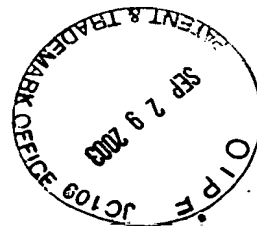
P...	A...	P...	E...	A...	B...	R...	F...	R...	E...
9/1	580	0	300	300	0.0	-2.4	00.0	87.0	0.7
9/1	890	-1	791	791	-5.4	-4.3	00.0	25.0	5.0
9/1	010	-2	173	173	8.3	4.9	00.0	6.7	6.7

FIG. 24

3390

3360

210



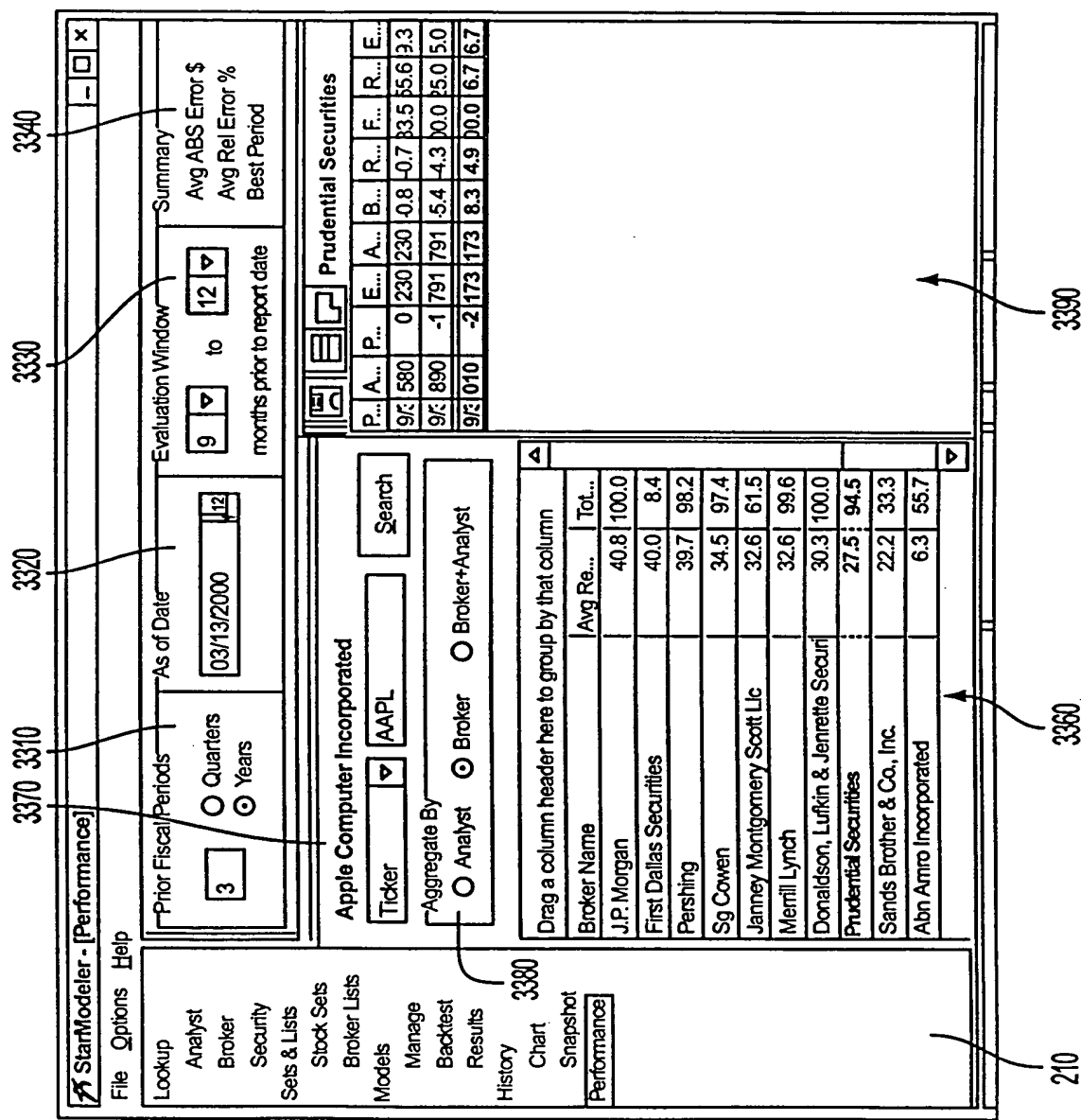
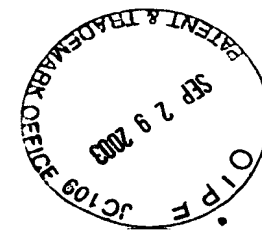


FIG. 25



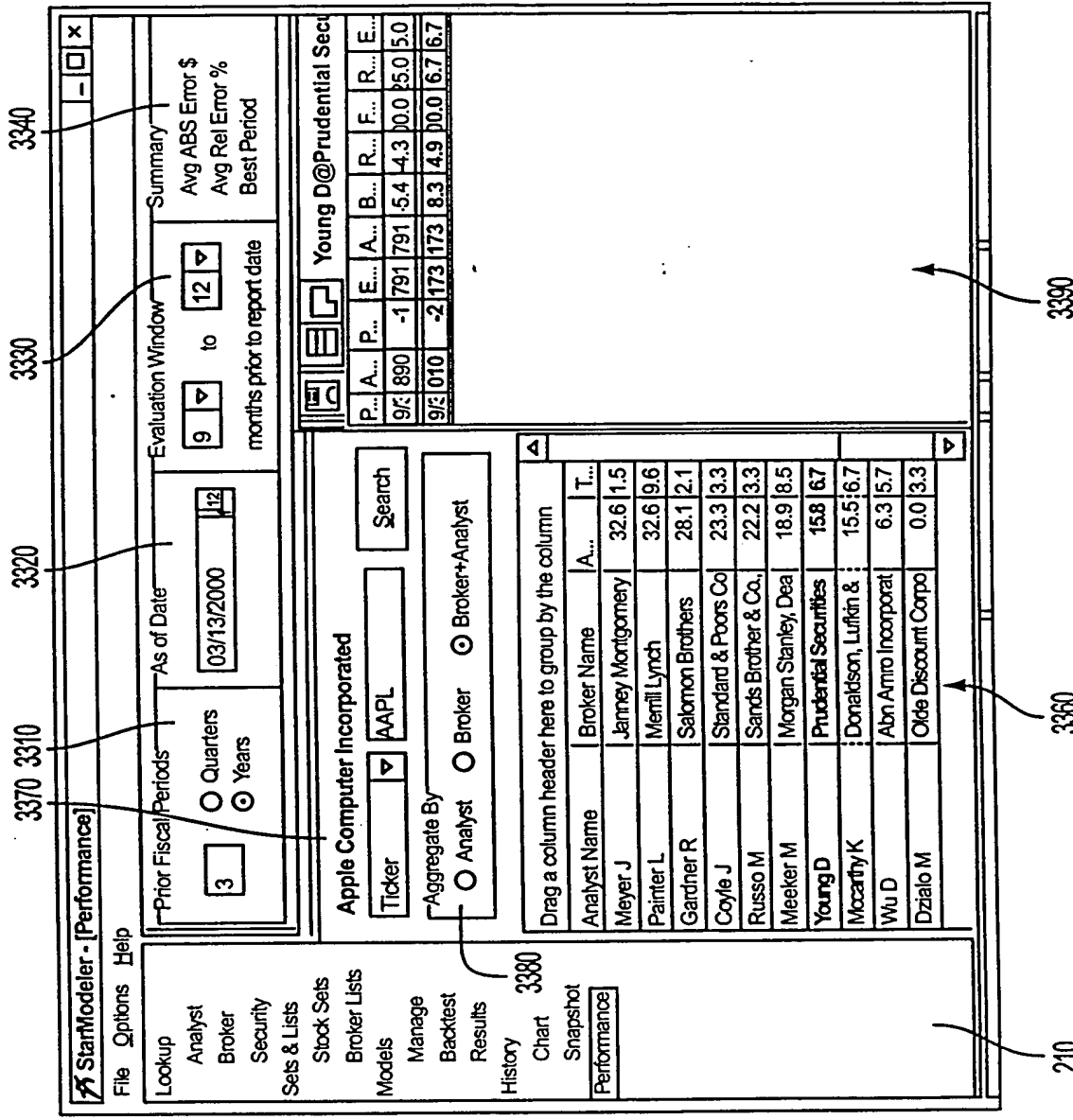
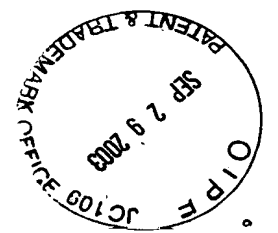


FIG. 26



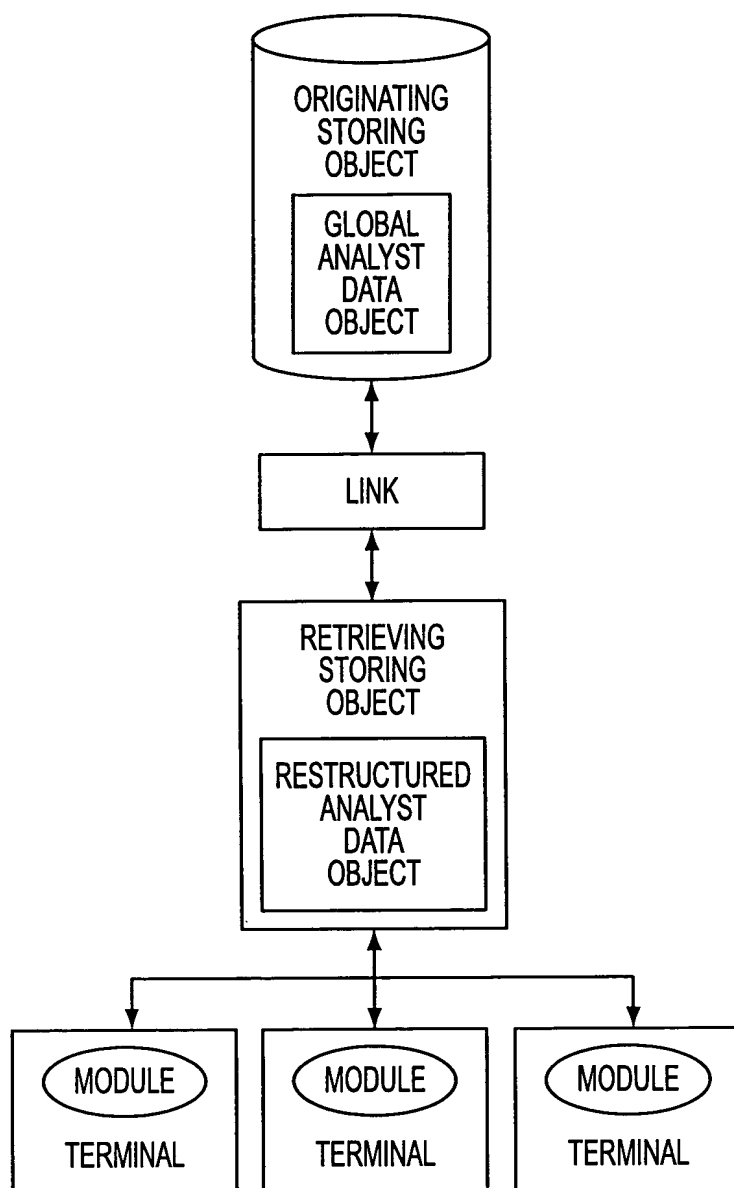
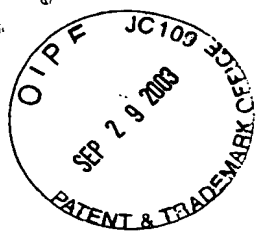


FIG. 27

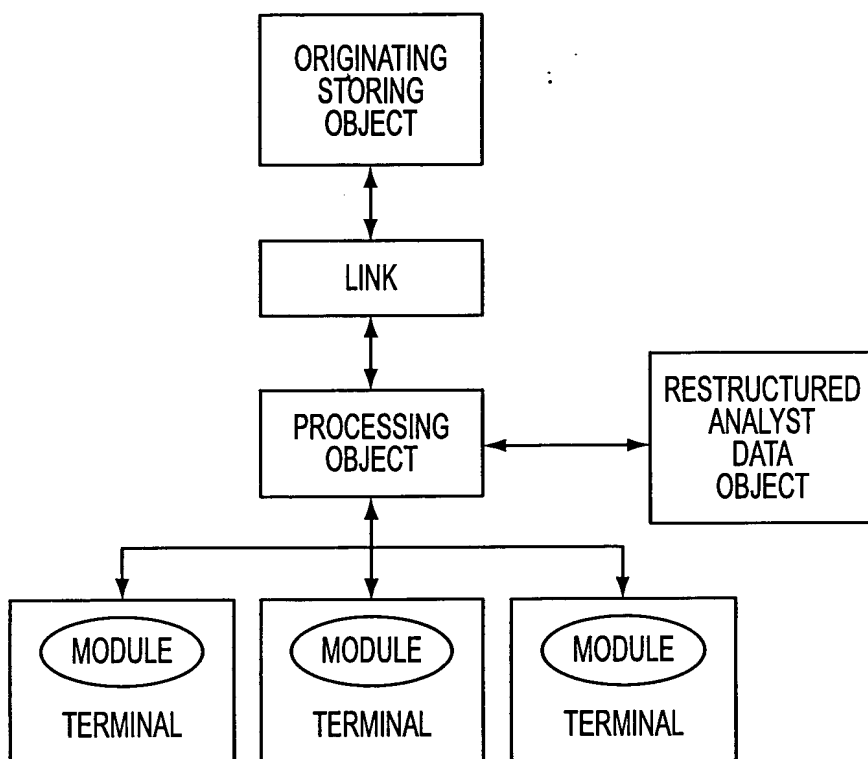
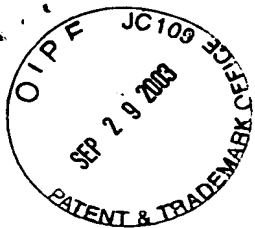


FIG. 28

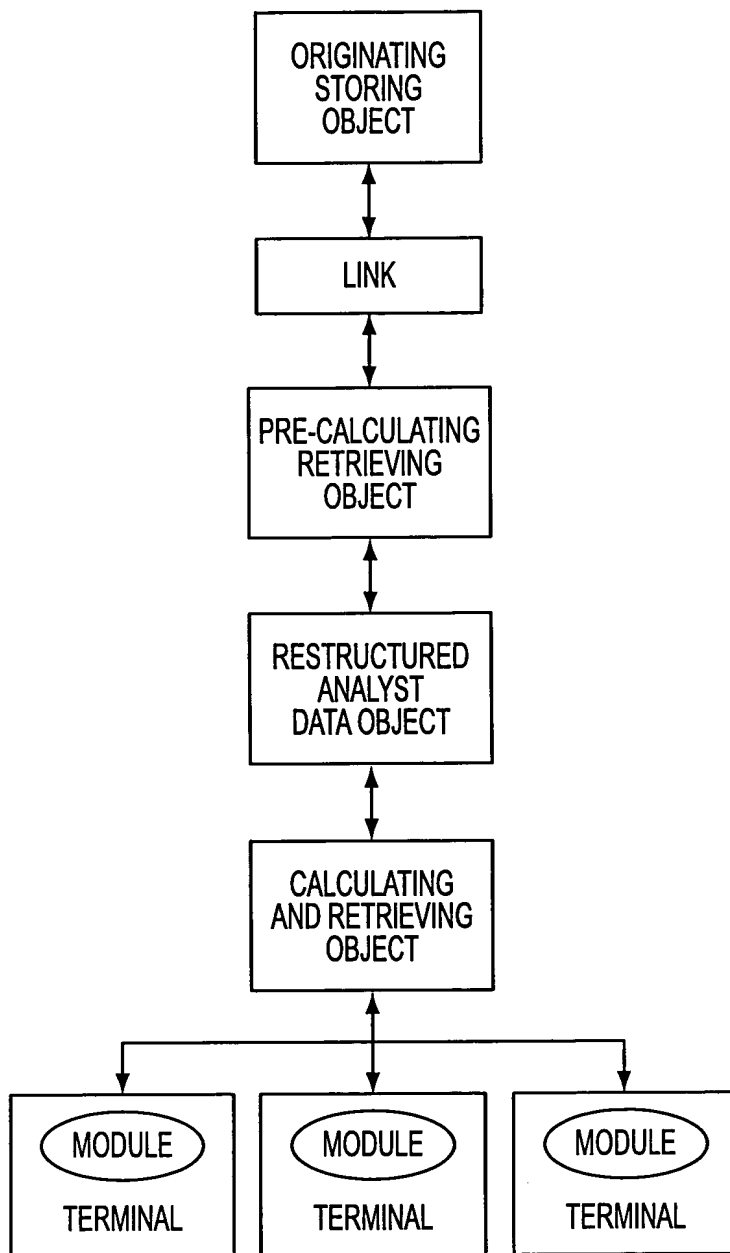


FIG. 29

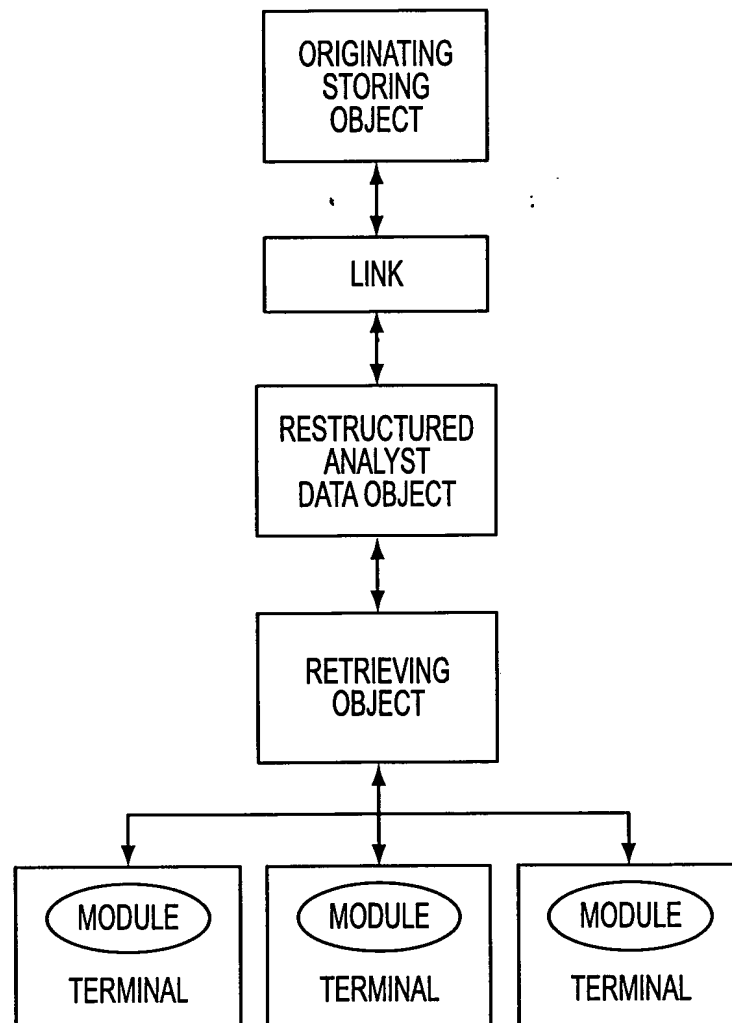
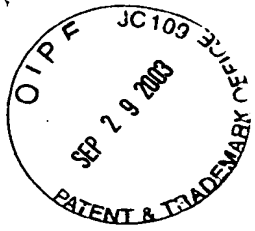


FIG. 30

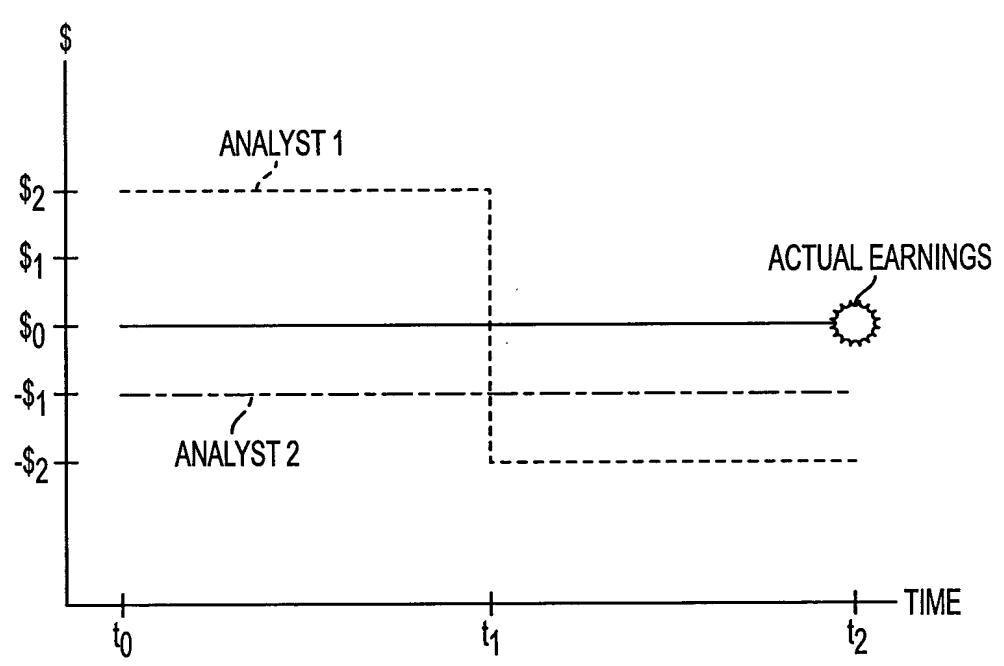
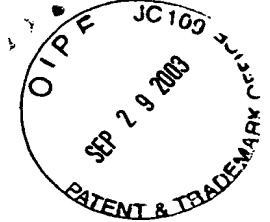


FIG. 31



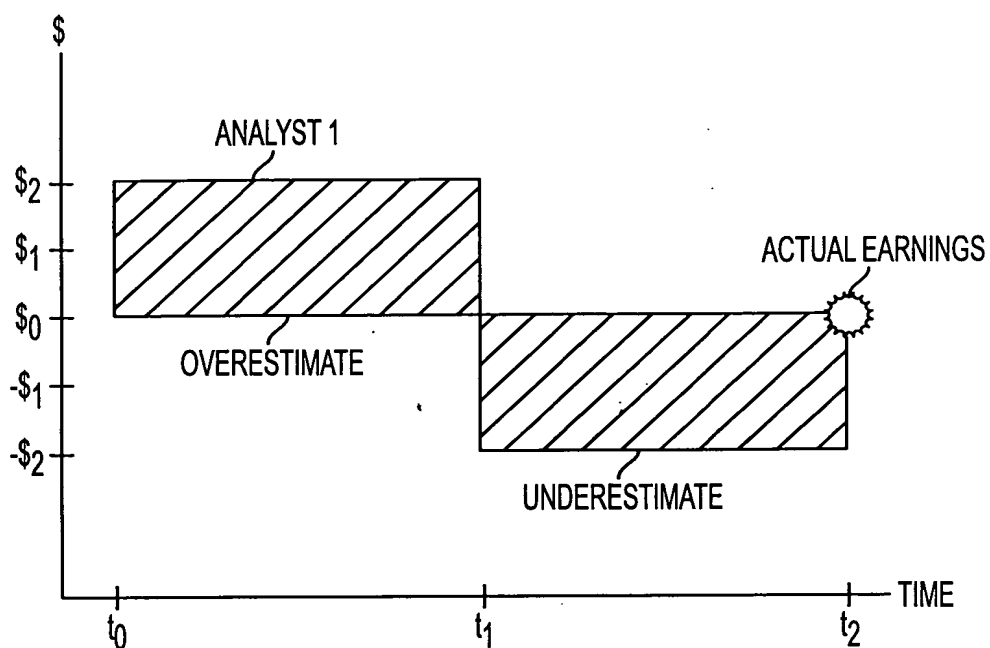


FIG. 32

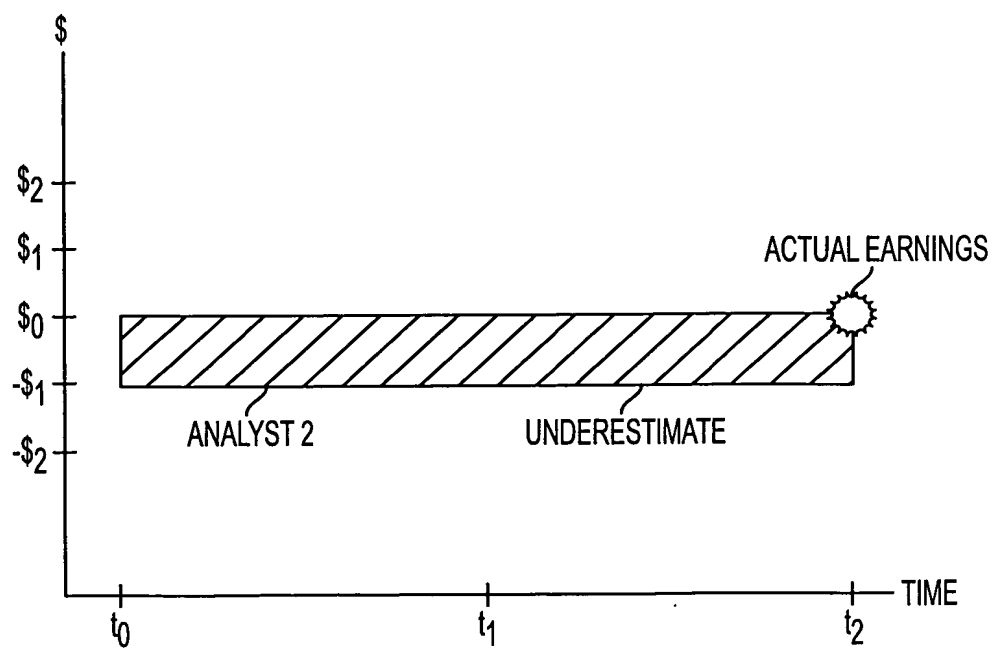


FIG. 33

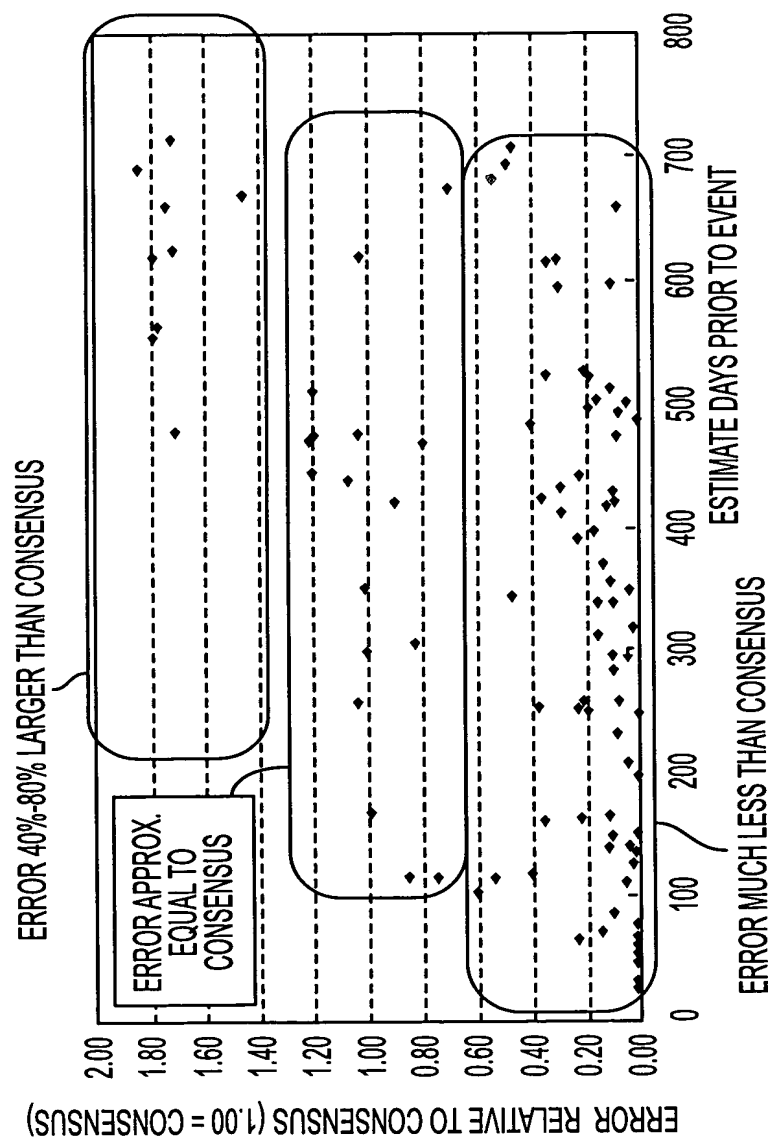


FIG. 34